



# APPLICATION FOR ELECTRONIC POLL BOOK CERTIFICATION OR RENEWAL OF CERTIFICATION

State Form 55319 (R5 / 1-22)  
INDIANA SECRETARY OF STATE

## INSTRUCTIONS:

1. For the Certification of a new electronic poll book or Certification of a modification to a certified electronic poll book, complete PART 1 and PART 2.
2. For renewal of a previously certified electronic poll book, complete PART 1 and PART 3.
3. See detailed instructions in PART 4.

This application is for the: *(Check appropriate box.)*

Certification of a new electronic poll book.

Certification of a modification to a certified electronic poll book.

Renewal of previously certified electronic poll book.

## PART 1

### APPLICANT INFORMATION

Name of Vendor	Telephone Number
Address of Vendor <i>(number, street or rural route)</i>	Fax Number
City, State, ZIP Code	E-mail Address
Name of contact person for the vendor	Contact person's telephone number
Electronic Poll Book name	Model number
General description of system and the functionality of each component:  _____	
Hardware <i>(including version numbers)</i> :  _____	
Firmware <i>(including version numbers)</i> :  _____	
Software <i>(including version numbers)</i> :  _____	

## PART 2

**This application must include the following:** *(Please check the box if material is included with this application or indicate N/A, if not applicable. If not included with this application, material must be supplied before the application will be presented to the Indiana Secretary of State.)*

1. Technical documentation including:

- Executable image and source code escrowed with the Office of Indiana Secretary of State or its approved agent when requested by VSTOP upon conclusion of testing.
- User manuals.
- Operator and system manuals *(including developer documentation)*.
- Troubleshooting and training manuals.
- Fail-safe and emergency backup information.
- Equipment reliability estimate.
- Environmental requirements for storage, transportation, and operation.
- 2. Photographs of the system; functional description of software components.
- 3. Engineering drawings.
- 4. Schematics or flowcharts identifying software and data file relationships.
- 5. Type of repair and maintenance offered by vendor.
- 6. Name and addresses of repair and maintenance providers.
- 7. Description of training courses *(including both on-site and off-site offerings)*.
- 8. A statement of the current and future interchangeability of all subcomponents.
- 9. Documentation of all testing performed on this system (internal or external sources).
- 10. Documentation of all internal quality assurance procedures.
- 11. Documentation of all usability testing.
- 12. Documentation from election jurisdiction(s) using or previously having used the system or component.
- 13. Detailed information concerning electronic poll list consumables and the vendor's supply chain for those consumables.
- 14. A statement attesting that the required statement of foreign ownership or control (IC 3-11-17-8) has been filed with the state, and the information in the statement is accurate, as of the date of the certification application.
- 15. Description of accessibility features and any testing performed.
- 16. Description of any known anomalies, including a description of how those were resolved.
- 17. An application fee in the amount of \$1500 as specified by IC 3-11-18.1-12.

### OATH OR AFFIRMATION

In making application for the certification of the electronic poll book or components listed above, I swear or affirm under the penalty for perjury that to the best of my knowledge and belief all the information contained in this application is true and the electronic poll book satisfies all functional and technical specifications as described in IC 3-11-8-10.3, IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e) and IC 3-11-10-26. I further affirm that I have complied with and will continue to comply with the background check requirements of IC 3-11-18.1-12.

Signature

Title

Date *(month, day, year)*

### PART 3

## PROCEDURES FOR RENEWAL OF A PREVIOUSLY CERTIFIED ELECTRONIC POLL BOOK FOR USE IN INDIANA AFTER DECEMBER 31, 2019

You have applied for renewal of a previously certified electronic poll book for use in Indiana. The Voting Systems Technical Oversight Program must confirm that the electronic poll book for which you seek renewal is identical to the electronic poll book currently certified in the state and conforming to the requirements listed in IC 3-11-8-10.3, IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e) and IC 3-11-10-26.

In order to complete our review of your renewal application, we require the following information (*in an attachment to this document*):

- A. Vendor Name
- B. Model Name
- C. Version Number
- D. Hardware Components (*including version numbers*)
- E. Software Components (*including version numbers*)
- F. Firmware Components (*including version numbers*)
- G. Approved Peripherals (*including version numbers*)
- H. COTS products authorized for use with the electronic poll book
- I. Approved modifications
- J. Most recent Indiana Certification Date
- K. A listing of Indiana counties where this equipment is currently deployed
- L. Evidence of application fee in the amount of \$1,500 as specified by IC 3-11-18.1-12

#### OATH OR AFFIRMATION

In making application for the certification of the electronic poll book or components listed above, I swear or affirm under the penalty for perjury that to the best of my knowledge and belief all the information contained in this application is true, that this electronic poll book is identical to the previously approved and certified electronic poll book currently used in Indiana, and satisfies all functional and technical specifications as described in IC 3-11-8-10.3, IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e) and IC 3-11-10-26. I further affirm that I have complied with and will continue to comply with the background check requirements of IC 3-11-18.1-12.

Signature

Title

Date (*month, day, year*)

## PART 4

### Instructions for State Form 55319, Application for Electronic Poll Book Certification Indiana Secretary of State Voting System Technical Oversight Program (VSTOP)

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#### What is the Purpose of State Form 55319?

State Form 55319 applies to the certification of a new electronic poll book, certification of a modification to a certified electronic poll book, and renewal of a previously certified electronic poll book.

A new electronic poll book configuration is a product that is not currently certified in the State of Indiana.

A certification of a modification to a certified electronic poll book applies when VSTOP determines that the modification should be tested at a VSTL. Please consult with VSTOP about this process. In this instance, a full technical data package must be supplied by the Vendor. A modification includes the addition/removal/change to a certified component and/or a software modification.

A renewal is used only when a vendor's certification in the State of Indiana is expiring, and no modifications/changes are being made to the electronic poll book.

Inaccurate, incomplete and illegible forms will be rejected for filing and returned.

#### Where to submit State Form 55319?

The vendor shall submit the application by mail or electronically to:

Indiana Election Division  
302 W. Washington St., E204  
Indianapolis, IN 46204

To submit electronically, send by e-mail to [elections@iec.in.gov](mailto:elections@iec.in.gov).

#### Instructions for completing the PART 1 of State Form 55319

Check the appropriate box at the top of PART 1 of the form. Hardware, software, and firmware versions must be listed along with all components. Attach additional sheets if needed. If there are multiple COTS components deemed to be interchangeable this must be indicated on the application.

#### Instructions for documentation required in PART 2 of State Form 55319

##### 1. Technical documentation including:

- **Executable image and source code escrowed** with the Office of Indiana Secretary of State or its approved agent. When requested by VSTOP upon conclusion of testing.
- **User manuals:** Submit all user manuals for the Electronic Poll Book solution. The manual(s) must include documentation explaining the list of procedural commands such as menu selections in a database management system for defining forms and reports, online queries for database access and manipulation, input to graphical user interface builder for automated code generation, commands to the operating system, or shell scripts.

- **Operator and system manuals (including developer documentation):**  
Submit all operator and system manuals for the Electronic Poll Book solution. The manual(s) must include documentation explaining:
  - Development Environment Specification: This document shall provide descriptions of the physical, personnel, procedural, and technical security of the development environment including version control, tools used, coding standards used, software engineering model used, and description of developer and independent testing.
  - The procedures and operations normally performed by poll workers, as well as system maintenance operations.
  - The procedures required to support system acquisition, installation, and readiness testing. These procedures may be provided by reference, if they are contained either in the system hardware specifications, or in other manufacturer documentation.
  - The procedures for providing technical support, system maintenance and correction of defects, and for incorporating hardware upgrades and new software releases.
  - The developer documentation that includes a description of the following development processes:
    - Software components of the system
    - A description of the function or functions that are performed by the software programs that comprise the system
    - A list of all documents controlling the development of the software and its specifications
    - Software System development methodology
    - Software design standards, including internal vendor procedures
    - Software specification standards, including internal vendor procedures
    - Software coding standards, including internal vendor procedures
    - Flowcharts, data flow diagrams, and other graphical techniques that facilitate understanding of the programming specifications
    - The programming language used and rationale for its use, if other than the specified module or unit language
    - Defect tracking procedures
  
- **Troubleshooting and training manuals:** Submit all such manuals for the Electronic Poll Book solution. These manuals must include:
  - The step-by-step process of resolving issues that may arise for this Electronic Poll Book solution or its users.
  - Training materials that may be in written or video form; must be in a format suitable for use at a polling place, such as simple “how to” guides.
  
- **Fail-safe and emergency backup information:** A document that specifies the user response to minimize losses in case of electronic poll book failure. The emergency backup plan should include data backup as well as back up procedures when there is any failure.
  
- **Equipment reliability estimate:** Addresses system and component reliability stated in terms of the system’s operating functions, and identification of items that require special handling or operation to sustain system reliability. The vendor shall include in the TDP a reliability analysis, such as a failure modes and effects analysis.  
If the item is a COTS component, reliability documentation from the original manufacturer is acceptable.
  
- **Environmental requirements for storage, transportation, and operation:** Addresses the ability of the system to withstand natural environments, and operational constraints in normal and test environments. Include all requirements and restrictions regarding electrical service and environmental protection.

**2. Photographs of the system; functional description of software components:**

Submit all available photographs of the system and its components. Add appropriate descriptions with the photographs.

A description of the software system concept, including specific software design objectives, and the logic structure and algorithms used to accomplish these objectives. This document shall identify the threats the electronic poll book protects against. This document shall provide a high-level design of the overall electronic poll book and of each electronic poll book component.

- 3. Engineering drawings:** Technical drawings that clearly describe the requirements of the engineered item.

**Security Architecture:** This document shall provide an architecture level description of how the security requirements are met, and shall include the various authentication, access control, audit, confidentiality, integrity, and availability requirements.

- 4. Schematics or flowcharts identifying software and data file relationships:**

Include flowcharts of procedures that clearly enable the operator to assess the correct flow of system functions. Also provide a flowchart which represents the electronic poll book workflow. Include a description of the data file relationships which explain the data flow between the screens.

- 5. Type of repair and maintenance offered by vendor:** Provide appropriate details.

- 6. Name and addresses of repair and maintenance providers:** Provide appropriate details.

- 7. Description of training courses (including both on-and off-site offerings):**

Training courses that may be in written or video form; must be in a format suitable for use at a polling place, such as a simple "how to" guides

- 8. A statement of the current and future interchangeability of all subcomponents:**

Include a statement about the life of all subcomponents and how these can be replaced/interchanged at end of life or when needed.

- 9. Documentation of all testing performed on this system (internal or external sources):**

Provide appropriate details.

**Additionally:**

**Security Testing and Vulnerability Analysis Documentation (if available):** These documents shall describe security tests performed to identify vulnerabilities and the results of the testing. This also includes testing performed as part of software development, such as unit, module, and subsystem testing.

**Security Threat Analysis (if available):** This document shall identify the threats the electronic poll book protects against and the implemented security controls on electronic poll book and system components.

- 10. Documentation of all internal quality assurance procedures:**

Provide documentation of manufacturer functions with associated practices that are initiated prior to system development and that continue throughout the maintenance and life cycle of the electronic poll book. Include documentation about the quality assurance that focuses on building quality into a system and reducing dependence on system tests at the end of the life cycle to detect deficiencies. Describe how this helps the system to meet the stated requirements and objectives and functions consistent with related components

- 11. Documentation of all usability testing:** Include information on usability tests (i) that are conducted by the manufacturer of the electronic poll book or an independent testing facility using individuals who are representative of the general public; (ii) that include the setting up, using, and shutting down of the electronic poll book; and (iii) that report their results using industry standard reporting formats.

- 12. Documentation from election jurisdictions using or previously having used the system or component:** Provide appropriate details.
- 13. Detailed information concerning electronic poll list consumables and the vendor's supply chain for those consumables:** Provide appropriate details.
- 14. Provide a statement as required by IC 3-11-17-8.**
- 15. Description of accessibility features and any testing performed:**  
The vendor shall supply documentation describing recommended procedures that fully implement accessibility for people with disabilities and also describes the accessibility scenarios the system is intended to support.
- 16. Description of any known anomalies, including a description of how those were resolved.**  
Provide appropriate details.
- 17. An application fee in the amount specified by IC 3-11-18.1-12 (\$1,500).** Payment should be made out to "State of Indiana".